

INFORMATION DISCLOSURE STATEMENT

ATTY. DOCKET NUMBER NEK-0026 SERIAL NUMBER 10/563,523 FILED 1-3-2006
 FIRST INVENTOR: Kyung-Woo LEE TITLE METHOD FOR PREPARING MICROCAPSULE
BY MINIEMULSION POLYMERIZATION
 EXAMINER NYA ART UNIT NYA

1. ☒ Applicant submits herewith a copy of (a) attached form PTO-1449, which lists all patents, publications, applications, or other information submitted for consideration by the Office; (b) a legible copy of each document required by 37 C.F.R. §1.98(b)(2).
2. ☐ Applicant herein apprises the Patent Office of references cited in a parent U.S. application from which this application obtains the benefit of an earlier filing date under 35 U.S.C. §120. The Serial Number of the parent application is U.S. Application _____ and entitled _____.
 The publications cited therein are listed on attached Form PTO-1449. In accordance with 37 C.F.R. §1.98(d) copies of the listed publications are not required. ☐ Additional parent patent applications are listed on an attached sheet.
3. ☒ In accordance with 37 C.F.R. §1.98(a)(3), Applicant hereby certifies that for each reference not in English (check at least one box below):
☐ A copy of a translation of one or more non-English document, or portion thereof, is provided herewith;
☒ A concise explanation is (check at least one box below):
☒ provided in the accompanying foreign or international search report; ☐ incorporated into the specification; and/or ☒ provided herewith.

37 C.F.R. §1.97(b)(1), (b)(2) – WITHIN 3 MONTHS OF FILING OR ENTRY IN NATIONAL STAGE

4. ☐ Since this Information Disclosure Statement is being filed within three months of the filing date of the subject application or within three months of the date of entry of the national stage as set forth in 37 C.F.R. §1.491 in an international application, no fee or certification under 37 C.F.R. §1.97(e) is required.

37 C.F.R. §1.97(b)(3), (b)(4) – PRIOR TO MAILING OF FIRST OFFICE ACTION OR FIRST ACTION AFTER REQUEST FOR CONTINUED EXAMINATION


5. ☒ Since this Information Disclosure Statement is being filed before the mailing date of the first Office Action on the merits, or before the mailing of a first Office action after the filing of a request for continued examination under 37 C.F.R. §1.114, no fee or certification under 37 C.F.R. §1.97(e) is required.


37 C.F.R. §1.97(c) – AFTER FIRST ACTION, BEFORE FINAL ACTION OR ALLOWANCE

6. ☐ Since this Information Disclosure Statement is being filed outside of the period provided for in 37 C.F.R. §1.97(b), but before the mailing date of a Final Rejection or Notice of Allowance, this submission is being accompanied by (one of the following boxes must be checked):
 a. ☐ the fee required under 37 C.F.R. §1.97(c)(2) and specified in 37 C.F.R. §1.17(p).
 b. ☐ the statement specified in 37 C.F.R. §1.97(e) (Box 8 or 9 must be checked).

37 C.F.R. §1.97(d) – AFTER FINAL REJECTION OR ALLOWANCE

7. ☐ Since this Information Disclosure Statement is being filed after the period specified in 37 C.F.R. §1.97(c), but on or before payment of the issue fee and is accompanied by both the statement specified in 37 C.F.R. §1.97(e) and the fee set forth in 37 C.F.R. §1.17(p). (Box 8 or 9 must be checked.)
8. ☐ In accordance with 37 C.F.R. §1.97(e)(1), Applicant's attorney certifies that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. ☐ The foreign or international search report(s) is/are enclosed.
9. ☐ In accordance with 37 C.F.R. §1.97(e)(2), Applicant's attorney certifies that no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this certification after making reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of the information disclosure statement.
10. ☒ In the event the Commissioner of Patents deems that any additional fee is required under 37 C.F.R. §§ 1.16 or 1.17 in connection with this application, Applicant's attorneys authorize that such fee be charged to Deposit Account No. 06-1130.
11. Consideration of this Information Disclosure Statement is respectfully requested.

Name: <u>Soonja Bae</u>	Limited Recognition No. <u>L0017</u>		
Signature: 	Date: <u>June 13, 2006</u>		

CERTIFICATE OF MAILING OR TRANSMISSION: I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner For Patents, P.O. Box 1450, Alexandria, VA 22313-1450, or [] facsimile transmitted to the U.S. Patent and Trademark Office to Facsimile No. _____ on the date shown below.			
Name: <u>Tammie Lanthier</u>			
Signature: 	Date: <u>June 13, 2006</u>		



INFORMATION DISCLOSURE CITATION <i>(Use several sheets if necessary)</i>	ATTY DOCKET NO. NEK-0028	APPLICATION NO. 10/563.523
	APPLICANT(S) Kyung-Woo LEE, et al.	
	FILING DATE 1-3-2006	GROUP ART UNIT NYA

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	3,737,337	6-5-1973	Hildegard Schnoring, et al.	117	100	2-9-1971
	3,891,570	6-24-1975	Fukushima, et al.	252	316	1-26-1973
	4,384,955	5-24-1983	Nakakura	210	415	11-25-1980
	5,545,504	8-13-1996	Keoshkerian, et al.	430	137	10-3-1994

U.S. PATENT APPLICATION PUBLICATIONS

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

FOREIGN PATENT DOCUMENTS

*	EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
		2002-66307	3-5-2002	JAPAN w/English abstract				✓
		2000-159661	6-13-2000	JAPAN w/English abstract				✓
		2002-0072600	9-18-2002	KOREAN w/English abstract				✓
		2002-0079131	10-19-2002	KOREAN w/English abstract				✓
		2000-0010061	2-15-2000	KOREAN w/English abstract				✓

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER	DATE CONSIDERED
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

INFORMATION DISCLOSURE CITATION <i>(Use several sheets if necessary)</i>	ATTY DOCKET NO. NEK-0028	APPLICATION NO. 10/563,523
	Kyung-Woo LEE, et al.	
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FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
		1 394 780	5-21-1975	UNITED KINGDOM				
		WO 01/04257	1-18-2001	PCT no English abstract				✓

OTHER DOCUMENTS *(Including Author, Title, Date, Pertinent Pages, Etc.)*

			"Polymer nanocapsules"; Author: Wolfgang Meier; The Royal Society of Chemistry; Chem. Soc. Rev., Vol. 29; 2000; pps. 295-303
			"Microspheres and Microcapsules, a Survey of Manufacturing Techniques: Part 111: Solvent Evaporation"; Author: Reza Arshady; Polymer Engineering and Science, Vol. 30, No. 15; 1990; pps. 915-924

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INFORMATION DISCLOSURE CITATION <i>(Use several sheets if necessary)</i>		Docket Number (Optional) NEK-0028	Application Number 10/563,523
		Applicant(s) Kyung-Woo LEE, et al.	
		Filing Date 1-3-2006	Group Art Unit NYA
*EXAMINER INITIAL	OTHER DOCUMENTS <i>(Including Author, Title, Date, Pertinent Pages, Etc.)</i>		
	"Microspheres and Microcapsules: A Survey of Manufacturing Techniques. Part 1: Suspension Cross-Linking"; Author: R. Arshady; Polymer Engineering and Science, Vol. 29, No. 24; December 1989; pps. 1746-1758		
	"Microspheres and Microcapsules, a Survey of Manufacturing Techniques Part 11: Coacervation"; Author: Reza Arshady; Polymer Engineering and Science, Vol. 30, No. 15, 1990; pps. 905-914		
	"Polymerized ABA Triblock Copolymer Vesicles"; Authors: Corinne Nardin, et al.; American Chemical Society; Langmuir, Vol. 16, No. 3; 2000; pps. 1035-1041		
	"The Dendritic Box: Shape-Selective Liberation of Encapsulated Guests"; Authors: Johan F. G. A. Jansen and E. W. Meijer; American Chemical Society; J. Am. Chem. Soc., Vol. 117, 1995, pps. 4417-4418		
	"Unimolecular Micelles"; Authors: George R. Newkome, et al.; VCH Verlagsgesellschaft mbH, W-6940 Weinheim, 1991; Angew. Chem. Int. Ed. Engl., Vol. 30, No. 9; 1991, pps. 1178-1180		
	"Molecular Nanocapsules Based on Amphiphilic Hyperbranched Polyglycerols"; Authors: Alexander Sunder, et al.; Wiley-VCH Verlag GmbH, D-69451 Weinheim; Angew. Chem. Int. Ed., Vol. 38, No. 23; 1999; pps. 3552-3555		
	"Novel Hollow Polymer Shells by Colloid-Templated Assembly of Polyelectrolytes"; Authors: Edwin Donath, et al.; COMMUNICATIONS; WILEY-VCH Verlag GmbH, D-69451 Weinheim; Angew. Chem. Int. Ed., Vol. 37, No. 16; 1998; pps. 2201-2205		
	"Study of the Emulsion-Diffusion of Solvent: Preparation and Characterization of Nanocapsules"; Authors: Sandra Guinebretiere, et al.; Wiley-Liss, Inc.; Drug Development Research, Vol. 57; 2002; pps. 18-33		
	"Hollow latex particles: synthesis and applications"; Charles J. McDonald and Michael J. Devon; Elsevier; Advances in Colloid and Interface Science, Vol. 99; 2002; pps. 181-213		
	"Preparation of Polymeric Nanocapsules by Miniemulsion Polymerization"; Authors: Franca Tiarks, et al.; American Chemical Society; Langmuir, Vol. 17, No. 3; 2001; pps. 908-918		
	"Polyreactions in miniemulsions"; Authors: Markus Antonietti and Katharina Landfester; Elsevier; Prog. Polym. Sci., Vol. 27; 2002; pps. 689-757		
	"Microencapsulation of emulsified oil droplets by in-situ vinyl polymerization"; Authors: Johan Berg, et al.; Taylor & Francis Ltd.; J. Microencapsulation, Vol. 6, No. 3, 1989, pps. 327-337		
EXAMINER		DATE CONSIDERED	
<p>*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.</p>			

INFORMATION DISCLOSURE CITATION

(Use several sheets if necessary)

Docket Number (Optional)

NEK-0028

Application Number

10/563,523

Applicant(s)

Kyung-Woo LEE, et al.

Filing Date

1-3-2006

Group Art Unit

NYA

*EXAMINER
INITIAL

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

PCT International Search Report; International Application No. PCT/KR2004/001644; International filing date: July 3, 2004; Date of Mailing: October 19, 2004

[PLEASE NOTE: All references cited in this PCT International Search Report have been listed above.]

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